

FORM PTO-1390 (Modified) U.S. PATENT AND TRADEMARK OFFICE; U.S. DEPARTMENT OF COMMERCE  
(REV. 7-2005)

ATTORNEY'S DOCKET NUMBER

97084/00116

## TRANSMITTAL LETTER TO THE UNITED STATES

DESIGNATED/ELECTED OFFICE (DO/EO/US)

CONCERNING A SUBMISSION UNDER 35 U.S.C. 371

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

107585157

INTERNATIONAL APPLICATION NO.  
PCT/US 2004/043408INTERNATIONAL FILING DATE  
December 22, 2004PRIORITY DATE CLAIMED  
December 30, 2003

## TITLE OF INVENTION

THREE-DIMENSIONAL IMAGING SYSTEM USING OPTICAL PULSES, NON-LINEAR OPTICAL MIXERS AND HOLOGRAPHIC CALIBRATION

## APPLICANT(S) FOR DO/EO/US

TRUSTEES OF STEVENS INSTITUTE OF TECHNOLOGY

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a submission under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a submission under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (24) indicated below.
4. ☒ The US has been elected (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c)(2))
  - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☒ has been communicated by the International Bureau.
  - c. ☒ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
  - a. ☐ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).
11. ☐ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☐ A copy of the International Search Report (PCT/ISA/210).

## Items 13 to 23 below concern document(s) or information included:

13. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☐ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☐ A substitute specification.
18. ☐ A power of attorney and/or change of address letter.
19. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.
20. ☐ A second copy of the published International Application under 35 U.S.C. 154(d)(4).
21. ☐ A second copy of the English language translation of the International Application under 35 U.S.C. 154(d)(4).
22. ☒ Express Mail Label No. **ED 141170355 US**

U.S. APPLICATION NO (if known, see 37 CFR 1.61) <div style="font-size: 24pt; font-weight: bold; text-align: center;">10/585157</div>	INTERNATIONAL APPLICATION NO. <div style="font-weight: bold; text-align: center;">PCT/US 2004/043408</div>	ATTORNEY'S DOCKET NUMBER <div style="font-weight: bold; text-align: center;">97084/00116</div>
23. Other items or information:  <div style="text-align: center;"> <b>Copy of Amendment Under PCT Article 34; Return Postcard; Transmittal Letter with Express Mail Certification with Express Mail Label No. ED 141170355 US; Declaration and Power of Attorney (Unexecuted).</b> </div>		
The following fees have been submitted:		CALCULATIONS      PTO USE
24. <input checked="" type="checkbox"/> Basic national fee ..... \$300		\$      \$300.00
25. <input checked="" type="checkbox"/> Examination fee (37 CFR 1.492(c)) If the written opinion prepared by ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article as an International Searching Authority. .... \$0 All other situations. .... \$200		\$      \$200.00
26. <input checked="" type="checkbox"/> Search fee (37 CFR 1.492(b)) If the written opinion of the ISA/US or the International preliminary examination report by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4). . . \$0 Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the as an International Searching Authority. .... \$100 International Search Report prepared by an ISA other than the US and provided to the previously communicated to the US by the IB. .... \$400 All other situations. .... \$500		\$      \$500.00
<b>TOTAL OF 24, 25 and 26 =</b>		\$      \$1,000.00
<input checked="" type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing in compliance with 37 CFR 1.821(c) or (e) or computer program listing in an electronic medium) (37 CFR 1.492(j)). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.		
Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof (round up to a whole)
110 - 100 =	10 /50 =	1
		x \$250.00
Surcharge of \$130.00 for furnishing any of the search fee, examination fee, or the oath or declaration after the date of commencement of the national stage (37 CFR 1.492(h)).		\$      \$130.00
CLAIMS	NUMBER FILED	NUMBER EXTRA
Total claims	168 - 20 =	148
		x \$50.00
Independent claims	14 - 3 =	11
		x \$200.00
MULTIPLE DEPENDENT CLAIMS (if applicable) <input checked="" type="checkbox"/>		+ \$360.00
<b>TOTAL OF ABOVE CALCULATIONS =</b>		\$      \$11,340.00
<input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. Fees above are reduced by 1/2.		\$      \$5,670.00
<b>SUBTOTAL =</b>		\$      \$5,670.00
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(i)).		\$      \$0.00
<b>TOTAL NATIONAL FEE =</b>		\$      \$5,670.00
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40 per property +		\$      \$0.00
<b>TOTAL FEES ENCLOSED =</b>		\$      \$5,670.00
		Amount to be \$
		Amount to be \$

10/585157

PTO-1390 (Rev. 07-2005)

Approved for use through 3/31/2007. OMB 0651-0021  
U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

- a. ☒ A check in the amount of \$ \$5,670.00 to cover the above fees is enclosed.
- b. ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ to cover the above fees.  
A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 503571. A duplicate copy of this sheet is enclosed.
- d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

**NOTE:** Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive 37 CFR 1.137(a) or (b) must be filed and granted to restore the International Application to pending status.

SEND ALL CORRESPONDENCE TO:

Ralph W. Selitto, Jr.  
McCarter & English, LLP  
100 Mulberry Street  
Four Gateway Center  
Newark, New Jersey 07102

SIGNATURE

Joseph Agostino

NAME

51,191

REGISTRATION NUMBER

6/29/06

DATE

10/585157

McCarter & English, LLP  
 Four Gateway Center  
 100 Mulberry Street  
 Newark, NJ 07102-4056  
 tel 973.622.4444  
 fax 973.624.7070  
 www.mccarter.com

Joseph Agostino  
 Associate

973.848.5367  
 973.297.3766 Fax  
 jagostino@mccarter.com

AP20 Rec'd PCT/PTO 29 JUN 2006



ATTORNEYS AT LAW

June 29, 2006

Mail Stop PCT  
 Commissioner for Patents  
 P.O. Box 1450  
 Alexandria, VA 22313-1450

Customer No.: 27614

File No.: 97084-00116  
 Inventor(s): John J. Keating III and Rainer Martini  
 Title: Three-Dimensional Imaging System Using Optical Pulses, Non-Linear Optical Mixers  
 and Holographic Calibration

Express Mail Label No.: ED 141170355 US

Sir:

Enclosed herewith please find the following documents in the above-identified application for Letters  
 Patent of the United States:

X Transmittal Letter to the United States Designated/Elected Office  
 (DO/EO/US) Concerning a Filing Under 35 USC 371 (Form PTO-1390)  
X Unexecuted Declaration and Power of Attorney  
X Amendment Under PCT Article 34  
X Transmittal Letter  
X Return-addressed Postcard  
X Check in the Amount of \$5,670.00.

Basic National Fee \$ 300.00  
 Additional Fees:

Search Fee \$ 500.00  
 Examination Fee \$ 200.00  
 Total number of claims (including multiple dependent claims) 168  
 Total number of claims in excess of 20, times \$50 \$ 7,400.00  
 Number of independent claims 14  
 Number of independent claims minus 3, times \$200 \$ 2,200.00  
 Fee for multiple dependent claims (\$360) \$ 360.00  
 Fee for each additional 50 sheets exceeding 100 (\$250) \$ 250.00  
 Surcharge of \$130 for furnishing the oath or Declaration later 30 months  
 from the earliest claimed priority date (37 CFR 1.492(e)) \$ 130.00

**SUBTOTAL \$11,340.00**

X Applicant claims Small Entity Status. See 37 CFR 1.27. The fees  
 indicated above are reduced by 1/2.

**TOTAL FILING FEES: \$ 5,670.00**

HARTFORD  
 860.275.6700

STAMFORD  
 203.324.1800

NEW YORK CITY  
 212.609.6800

NEWARK  
 973.622.4444

PHILADELPHIA  
 215.979.3800

WILMINGTON  
 302.984.6300

ME115720756.1  
 BALTIMORE  
 410.659.8500

Commissioner for Patents  
June 29, 2006  
Page 2  
Customer Number 27614  
Express Mail Label No. ED 141170355 US

10/585157  
AP20 Rec'd PCT/PTO 29 JUN 2006  
MCCARTER  
ENGLISH

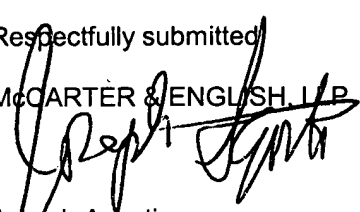
**PRIORITY CLAIM:**

This is U.S. National Phase Application under 35 U.S.C 371 of International Application No. PCT/US04/043408 filed December 22, 2004, and published on July 21, 2005, in the English language under International Publication Number WO 2005/065272A2, which claims the benefit of U.S. Provisional Patent Application No. 60/533,384 filed December 30, 2003; U.S. Provisional Patent Application No. 60/533,134 filed December 30, 2003; U.S. Provisional Patent Application No. 60/533,305 filed December 30, 2003; and U.S. Provisional Patent Appln. No. 60/537,773 filed January 20, 2004.

A check in the amount of \$5,670.00 to cover the fees associated with this filing is enclosed. The Commissioner is also authorized to charge any additional fees which may be required, including any extension or petition fees, or credit any overpayment, to Deposit Account No. 503571. A duplicate copy of this letter is enclosed for such purposes.

Respectfully submitted,

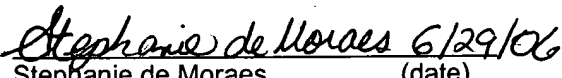
MCCARTER & ENGLISH, LLP

  
Joseph Agostino  
Reg. No. 51,191

JA/sd  
Enclosures

**CERTIFICATE OF MAILING BY EXPRESS MAIL**

I hereby certify that this correspondence is being deposited with the United States Postal Service, postage prepaid, as "Express Mail Post Office to Addressee", Mailing Label No. ED 141170355 US to Mail Stop PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on June 29, 2006.

  
Stephanie de Moraes (date)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Customer No. 27614

Mail Stop PCT  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Re: Our file: 97084-00083 Examiner B. Shalwala  
Applicant: Trustees of Stevens Institute of Technology et al.  
Serial No.: PCT/US2004/043408  
Filed: 22 December 2004  
Title: Three-Dimensional Imaging System Using Optical Pulses, Non-Linear Optical Mixers and Holographic Calibration

Sir:

Enclosed for filing in the United States Patent and Trademark Office is the following:

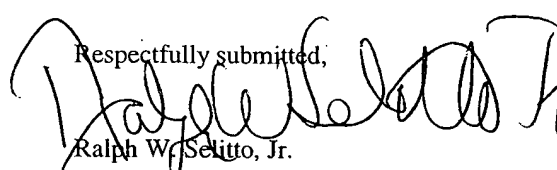
1. Letter Accompanying Amendment Under PCT Article 34 with Exhibits A & B
2. Transmittal Sheet
3. Postcard Receipt

**CONDITIONAL PETITION**

If any extension of time is required for the submission of the above-identified items, Applicant requests that this be considered a petition therefor. Please charge any additional charges or any other charges relating to this matter, or credit any overpayment, to the Deposit Account of the writer, Account No. 503571. A duplicate copy of this letter is enclosed.

10/26/05  
Date

Respectfully submitted,

  
Ralph W. Selitto, Jr.  
Registration No. 26,996  
McCarter & English, LLP  
Four Gateway Center  
100 Mulberry Street  
Newark, NJ 07102  
Tel: (973) 848-5365  
Fax: (973) 297-3763

Check One and Complete:

☒ **CERTIFICATE OF MAILING BY EXPRESS MAIL**

I hereby certify that this correspondence is being deposited with the United States Postal Service, postage prepaid, as "Express Mail Post Office to Addressee," Mailing Label No. EV623708173US to Mail Stop PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on 10/26/2005.

By: 

Janelle Fava

☐ **CERTIFICATE OF MAILING BY FIRST CLASS MAIL**

I hereby certify that this correspondence is being deposited with the United States Postal Service, First Class Mail, postage prepaid, to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on \_\_\_\_\_.

By: \_\_\_\_\_